

April 22, 2019

## Compliance Associate

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Department: **Legal/Compliance - Compliance**

Reports to: **Executive Director**

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Location: **Chicago, IL / Remote**

Contact: **Human Resources (careers@gcmlp.com)**

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### SUMMARY

As a member of the Compliance team, the individual in this position will be responsible for administering and supporting the compliance functions of GCM Grosvenor.

### RESPONSIBILITIES

The individual will be involved in the following critical activities:

- Help coordinate, work on, and manage the various applicable regulatory filings (e.g., Form ADV, Form PF, AIFMD Annex IV, etc).
- Assist in managing the development and implementation of appropriate training and monitoring systems to ensure that Firm is in full compliance with all laws and regulations.
- Assist in analyzing new and pending laws and regulations to properly and expeditiously identify those which may impact the Firm's business and collaborating with the Senior Compliance Officers to revise the Firm's policies and procedures as necessary.
- Help analyze recent regulatory cases which could have compliance consequences.
- Conduct certain reviews and tests pursuant to the annual review requirements under Rule 206(4)-7 and generally assisting the Senior Compliance officers in the annual review.
- Assist the Firm and Senior Compliance Officers during any regulatory or mock exam.
- Maintain Code of Ethics program on Compliance system, including reviewing employee trading statements and assisting in required pre-clearances.
- Assist in monitoring and maintaining the restricted list.
- Assist in reviewing material and subscriptions to comply with certain requirements, including AML.
- Perform email review.
- Perform other related duties as assigned.

### EDUCATION, SKILLS AND EXPERIENCE REQUIREMENTS

The ideal experience and critical competencies for the role include the following:

- Bachelor's degree.
- 5-7 years of compliance experience with private equity funds, hedge funds or paralegal experience at a large law firm.
- Familiarity with Investment Advisers Act of 1940, as amended.
- Familiarity with FINRA rules and regulations.
- Familiarity and preferred expertise with regulatory filings
- Experience with compliance systems such as Schwab Compliance Technologies, WebCRD and Global Relay.
- Strong writing skills with the ability to summarize and digest content quickly and clearly.
- Detail oriented with strong analytical and problem solving skills, including project management.
- Strong interpersonal skills, with a strong presence and team building skills.

(GCM Grosvenor reserves the right to add to, delete, change or modify the essential duties and requirements at any time. Other functions may be assigned to the position at GCM Grosvenor's discretion.)

**If interested and qualified for this position, please notify Human Resources.**

**EQUAL OPPORTUNITY EMPLOYER M/F/D/V**

- Interest in the developing regulatory environment for alternative asset management firms and the ability to understand how these trends may affect the Firm.
- Self-confident and assertive, with a bias for action, requiring a minimum amount of direction, yet also good instincts and judgment regarding when to involve others.
- High energy level with strong work ethic and flexibility to work long hours at times to accommodate special client needs, including the ability to quickly respond to emails during non-working hours and weekends.
- Ability to multi-task effectively.

In terms of cultural fit, the successful candidate will be self-motivated and energized by working amongst a group of thoughtful, smart and successful colleagues. He or she will enjoy being part of an organization focused on excellence and will be a naturally collaborative person who enjoys interacting with individuals at all levels. Additionally, he or she will be a strong team player with a proactive approach and the ability to exercise discretion and judgment.

#### HOW TO APPLY

Interested candidates should submit a letter of interest along with a resume to [careers@gcmlp.com](mailto:careers@gcmlp.com). Please reference **“Compliance Associate, # 101505”** in the subject line of the email.

#### ABOUT THE FIRM

GCM Grosvenor is a global alternative asset management firm with approximately \$50 billion AUM in hedge fund strategies, private equity, infrastructure, real estate and multi-asset class solutions. It is one of the largest, most diversified independent alternative asset management firms worldwide. The firm has core expertise in product and custom investment solutions. Its product solutions provide turn-key access to both diversified and specialized alternative investment portfolios. Its customized investment solutions give clients an active role in the development of their alternatives programs.

GCM Grosvenor has offered alternative investment solutions since 1971. The firm is headquartered in Chicago, with offices in New York, Los Angeles, London, Tokyo, Hong Kong and Seoul. GCM Grosvenor serves a global client base of institutional and high net worth investors.

For more information, visit [www.gcmgrosvenor.com](http://www.gcmgrosvenor.com).

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